

COMMONWEALTH OF KENTUCKY
DEPARTMENT OF WORKFORCE DEVELOPMENT

GUIDANCE NAME: Documenting Supplemental Data & Outcomes

GUIDANCE NUMBER: 16-031

DATE OF ISSUE: July 1, 2016; Reissued April 4, 2024

EFFECTIVE DATE: July 1, 2016

APPLIES/OF INTEREST TO: Kentucky Career Center (KCC) Staff and Local Workforce Development Area (LWDA) staff

POINT OF CONTACT: Division of Technical Assistance, compliance.unit@ky.gov

HISTORY: Date issued 07/01/2016; Effective date 07/01/2016; Revision date 08/29/2016; reissued April 4, 2024 with no substantive change, thus effective date remains.

PURPOSE: To properly document the outcomes of a customer/participant in case management notes when no other source is available.

GUIDANCE: Supplemental data will be used for program management purposes and to gain a full understanding of program performance and activities. Although a majority of employment situations will be covered by wage records, certain other types of employment, particularly self-employment, are either excluded from the sources of data identified or very difficult for grantees to access due to data confidentiality issues (e.g., access to State Department of Revenue or Tax records).

Grantees should not be discouraged from providing entrepreneurial training or assisting the hard-to-serve simply because the subsequent employment is not covered by wage records. Therefore, in order to convey full and accurate information on the employment impact of ETA programs, grantees may use supplemental sources of data to document a participant's entry and retention in employment for those participants not covered by wage records. For grantees that do not have access to wage records, supplemental sources of data will be permitted as an interim means of reporting on the earnings measure until all grantees in a program have access to wage records.

Allowable sources of supplemental information for tracking employment-related outcomes include case management notes, automated data base systems, One-Stop operating systems' administrative records, surveys of participants, and contact with employers. All supplemental data and methods must be documented and are subject to audit. For additional guidance, consult TEGL 14-18.

When documenting outcomes on a participant in case management notes, the case notes **MUST** contain the following:

- *Name of Employer/Institution
- *Address of Employer/Institution
- *Phone of Employer/Institution
- *Person the case manager spoke with to verify the information

The information must be documented thoroughly in order for any staff to be able to validate the outcome(s) that have been entered and are subject to monitoring. It is understood that supplemental data may be utilized to document employment and retention standards. Supplemental performance data that exceeds 5% in a Local Workforce Development Area will be reviewed on a semi-annual basis by the performance unit to ensure the data meets the standards of the Act. The Local Workforce Development Area must ensure when entering supplemental data, the employment is valid employment and subject to verification.

All performance data, regardless of the percentage of supplemental data utilized, may be reviewed at time of monitoring for quality and documentation purposes. As more services are provided, i.e. entrepreneur training, and developed, this threshold will be revisited to ensure maximum outcomes are being reached.

REFERENCES:

- USDOL, Training and Employment Guidance Letter 14-18.
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